

PART 1 - GENERAL

1.1 SUMMARY

1.1.1 Government-Furnished Information

Submittal register will be delivered to the contractor on 3 1/2-inch IBM compatible disk.

Register will have the following fields completed, to the extent that will be required by the Government during subsequent usage.

Column (c): Lists specification section in which submittal is required.

Column (d): Lists each submittal description (SD No. and type, e. g. SD-04 Drawings) required in each specification section.

Column (e): Lists one principal paragraph in specification section where a material or product is specified. This listing is only to facilitate locating submitted requirements. Do not consider entries in column (e) as limiting project requirements.

Column (f): Indicate approving authority for each submittal (The Government is the approving authority for all submittals).

The submittal register disk furnished to contractor, is for operation on contractor's IBM compatible personal computer with 3 1/2-inch high-density floppy disk drive.

1.2 DEFINITIONS

1.2.1 Submittal

Shop drawings, product data, samples, and administrative submittals presented for review and approval. Contract Clauses "FAR 52.236-5, Material and Workmanship," paragraph (b) and "FAR 52.236-21, Specifications and Drawings for Construction," paragraphs (d), (e), and (f) apply to all "submittals."

1.2.2 Types of Submittals

All submittals are classified as indicated in paragraph "Submittal Descriptions (SD)". Submittals also are grouped as follows:

a. Shop drawings: As used in this section, drawings, schedules, diagrams, and other data prepared specifically for this contract, by contractor or through contractor by way of subcontractor, manufacturer, supplier, distributor, or other lower tier contractor, to illustrate portion of work.

b. Product data: Preprinted material such as illustrations, standard schedules, performance charts, instructions, brochures, diagrams, manufacturer's descriptive literature, catalog data, and other data to illustrate portion of work, but not prepared exclusively for this contract.

c. Samples: Physical examples of products, materials, equipment, assemblies, or workmanship that are physically identical to portion of work, illustrating portion of work or establishing standards for evaluating appearance of finished work or both.

d. Administrative submittals: Data presented for reviews and approval to ensure that administrative requirements of project are adequately met but not to ensure directly that work is in accordance with design concept and in compliance with contract documents.

1.2.3 Submittal Descriptions (SD)

SD-01 Data

Submittals which provide calculations, descriptions, or other documentation regarding the work.

SD-02 Manufacturer's Catalog Data

Data composed of catalog cuts, brochures, circulars, specifications and product data, and printed information in sufficient detail and scope to verify compliance with requirements of contract documents. A type of product data.

SD-03 Manufacturer's Standard Color Charts

Preprinted illustrations displaying choices of color and finish for material of product. A type of product data.

SD-04 Drawings

Submittals which graphically show relationship of various components of the work, schematic diagrams of systems, detail of fabrications, layout of particular elements, connections, and other relational aspects of work. A type of shop drawings.

SD-05 Design Data

Design calculations, mix designs, analyses, or other data, written in nature and pertaining to a part of work. A type of shop drawings.

SD-06 Instructions

Preprinted material describing installation of a product, system, or material, including special notices and Material Safety Data Sheets, if any, concerning impedances, hazards, and safety precautions. A type of product data.

SD-07 Schedules

Tabular list of data or tabular list including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in work. A type of shop drawing.

SD-08 Statements

Document, required of contractor, or through contractor by way of a supplier, installer, manufacturer, or other lower tier contractor, the purpose of which is to further the quality or orderly progression of a portion of work by documenting procedures, acceptability of methods or personnel, qualifications, or other verification of quality. A type of shop drawing.

SD-09 Not Used

SD-10 Test Reports

Report signed by authorized official of testing laboratory that a material, product, or system identical to the material, product or system to be provided has been tested in accordance with requirements specified by naming the test method and material. Test report must state test was performed in accordance with test requirements; state test results; and indicate whether material, product, or system has passed or failed test. Testing must have been within three years of the date of award of this contract. A type of product data.

SD-11 Factory Test Reports

Written report, which includes findings of a test, required to be performed by the contractor on an actual portion of the work or prototype prepared for this project before it is shipped to job site. Factory test reports must be signed by authorized official of testing laboratory and must state test was performed in accordance with test requirements; state test results; and indicate whether material, product, or system has passed or failed test. A type of shop drawing.

SD-12 Field Test Reports

Written report, which includes the findings of a test made at job site, in vicinity of job site, or on sample taken from job site, on portion of work, during or after installation. The report must be signed by authorized official of testing laboratory or agency and must state test was performed in accordance with the test requirements; state the test results; and indicate whether material, product, or system has passed or failed test. A type of shop drawing.

SD-13 Certificates

Statements signed by responsible officials of manufacturer of product, system, or material attesting that product, system, or material meet specified requirements. Statements must be dated after award of this contract, name project, and list specific requirements which it is intended to address. A type of shop drawing.

SD-14 Samples

Samples, including both fabricated and unfabricated physical examples of materials, products, and units of work as complete units or as portions of units of work. A type of sample.

SD-15 Color Selection Samples

Samples of the available choice of colors, textures, and finishes of product or material, presented over substrates identical in texture to that proposed for work. A type of sample.

SD-16 Sample Panels

Assembly constructed at project site in location acceptable to the contracting officer and using materials to be employed in work; completely finished; maintained during construction; and removed at conclusion of work or when authorized by contracting officer. A type of sample.

SD-17 Sample Installations

Portion of an assembly or material constructed where directed and, if approved, retained as a part of work. A type of sample.

SD-18 Records

Documentation to ensure compliance with administrative requirement or to establish administration mechanism. A type of administrative submittal.

SD-19 Operation and Maintenance Manuals

Data intended to be incorporated in operations and maintenance manuals. A type of administrative submittal.

1.2.4 Approving Authority

Person authorized to approve submittal.

1.2.5 Work

As used in this section, on/off-site construction required by contract documents, including labor necessary to produce construction and materials, products, equipment, and systems incorporated or to be incorporated in such construction.

1.3 SUBMITTALS

Submit the following in accordance with the requirements of this section.

1.3.1 SD-18 Records

a. Submittal register

Submit submittal register in electronic format. Submit with quality control plan and project schedule required by Section 01450, "Quality Control" and Section 01320, "Construction Progress Documentation." Do not change data in columns (c), (d), (e), and (f) as delivered by the government. Verify that all submittals required for project are listed and add missing submittals. Complete the following on the register:

Column (a) Activity Number: Activity number from the project schedule.

Column (g) Contractor Submit Date: Scheduled date for approving authority to receive submittals.

Column (h) Contractor Approval Date: Date contractor needs approval of submittal.

Column (i) Contractor Material: Date that contractor needs material delivered to contractor control.

1.4 USE OF SUBMITTAL REGISTER

Prepare and maintain submittal register, as the work progresses. Use electronic submittal register furnished by the Government. Do not change data which is output in columns (c), (d), (e), and (f) as delivered by government; retain data which is output in columns (a), (g), (h), and (i) as approved.

1.4.1 Contractor Use of Submittal Register

Update the following fields in the government-furnished submittal register:

Column (b) Transmittal Number: Contractor assigned list of consecutive numbers.

Column (j) Action Code (k): Date of action used to record contractor's review when forwarding submittals to QC.

Column (l) List date of submittal transmission.

Column (q) List date approval received.

1.4.2 Approving Authority Use of Submittal Register

Update the following fields in the government-furnished submittal register.

Column (b).

Column (l) List date of submittal receipt.

Column (m) through (p).

Column (q) List date returned to contractor.

1.4.3 Contractor Action Code and Action Code

Entries used will be as follows (others may be prescribed by Transmittal Form):

NR - Not Received

A - Approved

B – Approved as noted

C - Disapproved, Revise, and Resubmit

1.4.4 Copies Delivered to the Government

Deliver one copy of submitted register updated by contractor to government with each invoice request. Deliver in electronic format, and one paper copy.

1.5 PROCEDURES FOR SUBMITTALS

1.5.1 Reviewing, Certifying, Approving Authority

QC organization shall be responsible for reviewing and certifying that submittals are in compliance with contract requirements. Approving authority on ALL submittals is the Government.

1.5.2 Constraints

a. Submittals listed or specified in this contract shall conform to provisions of this section, unless explicitly stated otherwise.

b. Submittals shall be complete for each definable feature of work; components of definable feature interrelated as a system shall be submitted at same time.

c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, submittal will be returned without review.

d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

1.5.3 Scheduling

a. Coordinate scheduling, sequencing, preparing and processing of submittals with performance of work so that work will not be delayed by submittal processing. Allow for potential requirements to resubmit. ANY MATERIAL OR EQUIPMENT ORDERED OR INSTALLED WITHOUT AN APPROVED SUBMITTAL IS ENTIRELY THE CONTRACTOR'S RESPONSIBILITY.

b. Except as specified otherwise, allow review period, that includes at least 15 calendar days for submittals for Government approval. Period of review for submittals begins when Government receives submittal from QC organization. Period of review for each resubmittal is the same as for initial submittal.

1.5.4 Variations

Variations from contract requirements require Government approval pursuant to contract Clause entitled "FAR 52.236-21, Specifications and Drawings for Construction" and will be considered where advantageous to government.

1.5.4.1 Considering Variations

Discussion with Government Project Manager prior to submission, will help ensure functional and quality requirements are met and minimize rejections and resubmittals. When contemplating a variation, which results in lower cost, consider submission of the variation as a Value Engineering Change Proposal (VECP).

1.5.4.2 Proposing Variations

When proposing variation, deliver written request to the Government, with documentation of the nature and features of the variation and why the variation is desirable and beneficial to government. If lower cost is a benefit, also include an estimate of the cost saving. In addition to documentation required for

variation, include the submittals required for the item. Clearly mark the proposed variation in all documentation.

1.5.4.3 Warranting That Variation Are Compatible

When delivering a variation for approval, contractor warrants that this contract has been reviewed to establish that the variation, if incorporated, will be compatible with other elements of work.

1.5.4.4 Review Schedule Is Modified

In addition to normal submittal review period, a period of 10 working days will be allowed for consideration by the Government of submittals with variations.

1.5.5 Contractor's Responsibilities

a. Determine and verify field measurements, materials, field construction criteria; review each submittal; and check and coordinate each submittal with requirements of the work and contract documents.

b. Transmit submittals to QC organization in accordance with schedule on approved Submittal Register, and to prevent delays in the work, delays to government, or delays to separate contractors.

c. Advise contracting officer of variation, as required by paragraph entitled "Variations."

d. Correct and resubmit submittal as directed by approving authority. When resubmitting disapproved transmittals or transmittals noted for resubmittal, the contractor shall provide copy of that previously submitted transmittal including all reviewer comments for use by approving authority. Direct specific attention in writing or on resubmitted submittal, to revisions not requested by approving authority on previous submissions.

e. Furnish additional copies of submittal when requested by contracting officer, to a limit of 5 copies per submittal.

f. Complete work that must be accomplished as basis of a submittal in time to allow submittal to occur as scheduled.

g. Ensure no work has begun until submittals for that work have been returned as "approved," or "approved as noted" or "approved except as noted; resubmission not required", except to the extent that a portion of work must be accomplished as basis of submittal.

1.5.6 QC Organization Responsibilities

a. Note date on which submittal was received from contractor on each submittal.

b. Review each submittal; and check and coordinate each submittal with requirements of work and contract documents.

c. Review submittals for conformance with project design concepts and compliance with contract documents.

d. Act on submittals, determining appropriate action based on QC organization's review of submittal.

(1) When contracting officer is approving authority or when variation has been proposed, forward submittal to Government with certifying statement or return submittal marked "not reviewed" or "revise and resubmit" as appropriate. The QC organization's review of submittal determines appropriate action.

e. Ensure that material is clearly legible.

f. Stamp each sheet of each submittal with QC certifying statement or approving statement, except that data submitted in bound volume or on one sheet printed on two sides may be stamped on the front of the first sheet only.

(1) When approving authority is contracting officer, QC organization will certify submittals forwarded to contracting officer with the following certifying statement:

"I hereby certify that the (equipment) (material) (article) shown and marked in this submittal is that proposed to be incorporated with contract Number _____, is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is submitted for Government approval.

Certified by Submittal Reviewer _____, Date _____
(Signature when applicable)

Certified by QC manager _____, Date _____"
(Signature)

g. Sign certifying statement or approval statement. The person signing certifying statements shall be QC organization member designated in the approved QC plan. The signatures shall be in original ink. Stamped signatures are not acceptable.

h. Update submittal register as submittal actions occur and maintain the submittal register at project site until final acceptance of all work by contracting officer.

i. Retain a copy of approved submittals at project site.

1.5.7 Government's Responsibilities

When approving authority is contracting Officer, the Government will:

a. Note date on which submittal was received from QC manager, on each submittal for which the contracting officer is approving authority.

b. Review submittals for approval within scheduling period specified and only for conformance with project design concepts and compliance with contract documents.

c. Identify returned submittals with one of the actions defined in paragraph entitled "Actions Possible" and with markings appropriate for action indicated.

1.5.8 Actions Possible

Submittals will be returned with one of the following notations:

a. Submittals marked "not reviewed" will indicate submittal has been previously reviewed and approved, is not required, does not have evidence of being reviewed and approved by contractor, or is not complete. A submittal marked "not reviewed" will be returned with an explanation of the reason it is not reviewed. Resubmit submittals returned for lack of review by contractor or for being incomplete, with appropriate action, coordination, or change.

b. Submittals marked "approved" "approved as submitted" authorize contractor to proceed with work covered.

c. Submittals marked "approved as noted" or "approved except as noted; resubmission not required" authorize contractor to proceed with work as noted provided contractor takes no exception to the notations.

d. Submittals marked "revise and resubmit" or "disapproved" indicate submittal is incomplete or does not comply with design concept or requirements of the contract documents and shall be resubmitted with appropriate changes. No work shall proceed for this item until resubmittal is approved.

1.6 FORMAT OF SUBMITTALS

1.6.1 Transmittal Form

Transmit each submittal, except sample installations and sample panels, to office of approving authority. Transmit submittals with transmittal form prescribed by contracting officer, or contractor generated, and standard for project. The transmittal form shall identify contractor, indicate date of submittal, and include information prescribed by transmittal form and required in paragraph entitled "Identifying Submittals." Process transmittal forms to record actions regarding sample panels and sample installations.

1.6.2 Identifying Submittals

Identify submittals, except sample panel and sample installation, with the following information permanently adhered to or noted on each separate component of each submittal and noted on transmittal form. Mark each copy of each submittal identically, with the following:

- a. Project title and location.
- b. Construction contract number.
- c. Submittal number (starting with #1, #2, etc.).
- d. Section number and paragraph number of the specification section requiring the submittal.
- e. Submittal description (SD) number of each component of submittal.
- f. When a resubmission, alphabetic suffix on submittal number, for example, 10A (for original submittal #10), to indicate resubmission.

g. Name, address, and telephone number of subcontractor, supplier, manufacturer and any other second tier contractor associated with submittal.

h. Product identification and location in project.

1.6.3 Format for Product Data

a. Present product data submittals for each section as a complete, bound volume. Include table of contents, listing page and catalog item numbers for product data; OR present product data separately for individual items within each section well in advance of when item is needed in project.

b. Indicate, by prominent notation, each product that is being submitted; indicate specification section number and paragraph number to which it pertains.

c. Supplement product data with material prepared for project to satisfy submittal requirements for which product data does not exist. Identify this material as developed specifically for project.

1.6.4 Format for Shop Drawings

a. Shop drawings shall not be less than 8 1/2 by 11 inches nor more than 30 x 42 inches.

b. Present 8 1/2 x 11 inches sized shop drawings as part of the bound volume (or separately) for submittals required by section. Present larger drawings in sets.

c. Include on each drawing the drawing title, number, date, and revision numbers and dates, in addition to information required in paragraph entitled "Identifying Submittals."

d. Dimension drawings, except diagrams and schematic drawings; prepare drawings demonstrating interface with other trades to scale. Identify materials and products for work shown.

1.6.5 Format of Samples

a. Furnish samples in sizes below, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately same size as specified:

(1) Sample of Equipment or Device: Full size.

(2) Sample of Materials Less Than 2 by 3 inches: Built up to 8 1/2 by 11 inches.

(3) Sample of Materials Exceeding 8 1/2 by 11 inches: Cut down to 8 1/2 by 11 inches and adequate to indicate color, texture, and material variations.

(4) Sample of Linear Devices or Materials: 10 inch length or length to be supplied, if less than 10 inches. Examples of linear devices or materials are conduit and handrails.

(5) Sample of Non-Solid Materials: Pint. Examples of non-solid materials are sand and paint.

(6) Color Selection Samples: 2 by 4 inches.

(7) Sample Panel: 4 by 4 feet.

(8) Sample Installation: 100 square feet.

b. Samples Showing Range of Variation: Where variations are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range.

c. Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples shall be in undamaged condition at time of use.

d. Recording of Sample Installation: Note and preserve the notation of area constituting sample installation but remove notation at final clean up of project.

e. When color, texture or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.

1.6.6 Format of Administrative Submittals

a. When submittal includes a document which is to be used in project or become part of project record, other than as a submittal, do not apply contractor's approval stamp to document, but to a separate sheet accompanying document.

b. Operation and Maintenance Manual Data: Submit in accordance with Section 01781, "Operation and Maintenance Data." Include components required in that section and the various technical sections.

1.7 QUANTITY OF SUBMITTALS

1.7.1 Number of Copies of Product Data

a. The Government will retain two copies of all product data submittals. The contractor shall submit additional copies (a maximum of four), or as required by their organization, of submittals of product data requiring review and approval by the Government.

1.7.2 Number of Copies of Shop Drawings

Submit shop drawings in compliance with quantity requirements specified for product data.

1.7.3 Number of Samples

a. Submit two samples, or two sets of samples showing range of variation, of each required item. The Government will retain one approved sample or set of samples and one will be returned to contractor.

b. Submit one sample panel. Include components listed in technical section or as directed.

c. Submit one sample installation, where directed.

d. Submit one sample of non- solid materials.

1.7.4 Number of Copies of Administrative Submittals

a. Unless otherwise specified, submit administrative submittals compliance with quantity requirements specified for product data.

b. Submit administrative submittals required under "SD-19 Operation and Maintenance Manuals" to conform to Section 01781, "Operation and Maintenance Data."

1.8 FORWARDING SUBMITTALS

1.8.1 All Submittals Required of the Contractor

Forward all submittals to the FLETC Project Manager, Federal Law Enforcement Training Center, 1300 W Richey Ave, Artesia NM 88210-9419.

PART 2 - PRODUCTS

Not used.

PART 3 - EXECUTION

Not used.

END OF SECTION